



PTO/SB/21 (09-04) (AW 10/2004)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/863,593
Filing Date	May 23, 2001
First Named Inventor	Parag Pruthi
Art Unit	2663
Examiner Name	Duc T. Duong
Attorney Docket No.	NIK-100US (Formerly 38731-1US (180498))

**ENCLOSURES (Check all that apply)**

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment/Reply
  - ☐ After Final
  - ☐ Affidavits/Declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/  
Incomplete Application
  - ☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a  
Provisional Application
- ☐ Power of Attorney, Revocation,  
Change of Correspondence  
Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_
  - ☐ Landscape Table on CD

- ☐ After Allowance Communication  
to TC
- ☐ Appeal Communication to Board  
of Appeals and Interferences
- ☐ Appeal Communication to TC  
(Appeal Notice, Brief, Reply  
Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please  
identify below): PTO/SB/08a-b  
(3 sheets); 26 references;  
Return Receipt Post Card

**Remarks:****SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

Firm Name	RatnerPrestia		
Signature			
Printed Name	Christopher J. Dervishian		
Date	September 12, 2005	Registration No.	42,480

**CERTIFICATE OF TRANSMISSION / MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature			
Typed or Printed Name	Patricia C. Boccella	Date	September 12, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Office, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, ALEXANDRIA, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appln. No: 09/863,593  
Applicant: Parag Pruthi et al.  
Filed: May 23, 2001  
Title: APPARATUS AND METHOD FOR COLLECTING AND ANALYZING  
COMMUNICATIONS DATA  
TC/A.U.: 2663  
Examiner: Duc T. Duong

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO/SB/08a and PTO/SB/08b forms submitted herewith. A copy of the references listed on the PTO/SB/08a and PTO/SB/08b forms is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Enclosed and listed on the PTO/SB/08a and PTO/SB/08b forms are communications received for corresponding foreign and international applications and references cited in such communications. The information submitted herewith is provided to ensure compliance with Applicants duty of disclosure under an interpretation of *Dayco Prods., Inc. v. Total Containment, Inc.*, 329 F.3d 1358 (Fed. Cir. 2003).

This Information Disclosure Statement is being filed within three months of the filing date of the above-referenced application or before mailing of the first Official Action. No

first Official Action has yet been received and it is presumed that none has yet been mailed. No fee or statement is required. 37 C.F.R. § 1.97(b). The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

Respectfully submitted,



Christopher J. Dervishian, Reg. No. 42,480  
Attorney for Applicants

CJD/pb


Enclosures: PTO/SB/08a and PTO/SB/08b (2)  
(26) References  
Transmittal Form

Dated: September 12, 2005

P.O. Box 980  
Valley Forge, PA 19482  
(610) 407-0700

The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

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Patricia C. Bocella

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

SHEET 1 of 3

**Complete if Known**

Application Number	09/863,593
Filing Date	May 23, 2001
First Named Inventor	Parag Pruthi
Art Unit	2663
Examiner Name	Duc T. Duong
Attorney Docket No.	NIK-100US (Formerly 38731-1US (180498))

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-5,521,907	05/28/1996	Ennis, Jr. et al.	
		US-5,790,605	08/04/1998	Helm et al.	
		US-			
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date (MM-DD- YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If known)				
	1.	GB 2 300 789 A	11/13/1996	General DataComm Advanced Research Centre Limited		<input type="checkbox"/>
	2.	EP 0 544 454 A2	06/02/1993	Cray Communications Limited		<input type="checkbox"/>
	3.	JP 09 046391 (Abstract Only)	02/14/1997	Nipon Telegr & Teleph Corp.		<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

<sup>1</sup>Applicant's unique citation designation number (optional).

<sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

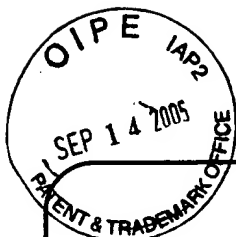
<sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

<sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

SHEET 2 of 3

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First Named Inventor	Parag Pruthi
Art Unit	2663
Examiner Name	Duc T. Duong
Attorney Docket No.	NIK-100US (Formerly 38731-1US (180498))

**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	A.	IP Australia - Examiner's first report for Application 23487/00 dated August 7, 2002.	<input type="checkbox"/>
	B.	IP Australia - Examiner's Report No. 2 for Application 23487/00 dated May 6, 2004.	<input type="checkbox"/>
	C.	Office Action of Canadian Intellectual Property Office for Application 2,351,175 dated October 14, 2004	<input type="checkbox"/>
	D.	First Office Action of Chinese Patent Office for Application 99813560.7. English version attached.	<input type="checkbox"/>
	E.	Second Office Action of Chinese Patent Office for Application 99813560.7 dated November 12, 2004. English version attached	<input type="checkbox"/>
	F.	Official Action of Finland National Board of Patents and Registration for Application 20011009 dated May 18, 2004. English translation attached.	<input type="checkbox"/>
	G.	Examination Report for Application GB 0112566.5 dated March 21, 2003.	<input type="checkbox"/>
	H.	Examination Report for Application GB 0112566.5 dated November 10, 2003.	<input type="checkbox"/>
	I.	First Examination Report of Intellectual Property India for Application IN/PCT/2001/00504 dated January 13, 2004.	<input type="checkbox"/>
	J.	Second Examination Report of Intellectual Property India for Application IN/PCT/2001/00504 dated December 20, 2004.	<input type="checkbox"/>
	K.	Notification of Reason For Rejection of Japan Patent Office for Application 2000-584679 dated March 23, 2004. English translation attached.	<input type="checkbox"/>
	L.	Notification of Reason For Rejection of Japan Patent Office for Application 2000-584679 dated November 9, 2004. English translation attached.	<input type="checkbox"/>
	M.	Office Action of Swedish Patent and Registration Office for Application 0101745-8 dated June 13, 2003. English translation attached.	<input type="checkbox"/>
	N.	Second Office Action of Swedish Patent and Registration Office for Application 0101745-8. English translation only.	<input type="checkbox"/>

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

<sup>1</sup>Applicant's unique citation designation number (optional).

<sup>2</sup>Applicant is to place a check mark here if English language translation is attached.

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Art Unit	2663
Examiner Name	Duc T. Duong
Attorney Docket No.	NIK-100US (Formerly 38731-1US (180498))

**SHEET 3 of 3****NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	O.	Official letter of Swedish Patent and Registration Office for Application 0501119-2 dated June 22, 2005. English translation attached.	<input type="checkbox"/>
	P.	International Search Report for application PCT/US99/27969 dated April 5, 2000.	<input type="checkbox"/>
	Q.	International Preliminary Examination Report for application PCT/US99/27969 dated January 15, 2001.	<input type="checkbox"/>
	R.	International Search Report for application PCT/US01/15601 dated August 29, 2001.	<input type="checkbox"/>
	S.	International Preliminary Examination Report for application PCT/US01/15601 dated December 30, 2002.	<input type="checkbox"/>
	T.	Supplementary Partial European Search Report for application no. 99967146.4 dated May 13, 2005.	<input type="checkbox"/>
	U.	Supplementary European Search Report for application no. 99967146.4 dated August 16, 2005.	<input type="checkbox"/>
			<input type="checkbox"/>
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			<input type="checkbox"/>
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